

## Declaration for Patent Application

Docket Number: 1797.0510000

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled:  
**A Method and Apparatus for a Common-Cause Failure Module for Probabilistic Risk Assessment Tools,**

the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on October 9, 2001;  
as United States Application Number or PCT International Application Number 09/971,765; and  
was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56, including for continuation-in-part applications, material information that became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or (f), or § 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or § 365(a) of any PCT international application, which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

\_\_\_\_\_  
(Application No.)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐ Yes ☐ No

\_\_\_\_\_  
(Application No.)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐ Yes ☐ No

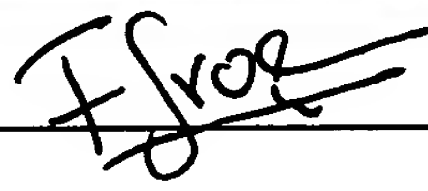
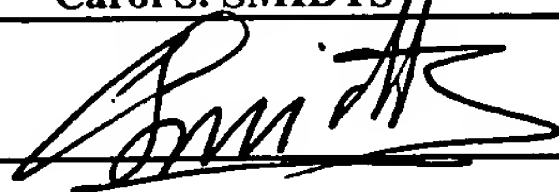

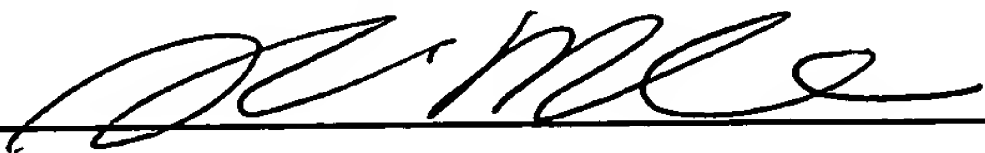
Send Correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934

Direct Telephone Calls to:

(202) 371-2600

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor	Franciscus J. GROEN	
Signature of sole or first inventor		Date 12/14/01
Residence	College Park, Maryland	
Citizenship	The Netherlands	
Mailing Address	7011A Fordham Court, #2, College Park, Maryland 20740	
Full name of second inventor	Carol S. SMIDTS	
Signature of second inventor		Date 12/14/01
Residence	Bethesda, Maryland	
Citizenship	Belgium  12/14/01	
Mailing Address	4808 Moorland Lane, #304, Bethesda, MD 20814-6110	
Full name of third inventor	Ali MOSLEH	
Signature of third inventor		Date 12/14/01
Residence	Columbia, Maryland	
Citizenship	United States	
Mailing Address	11819 Far Edge Path, Columbia, MD 21044	



15-2001-058

# Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: Franciscus J. GROEN et al.

Application No./Patent No.: 09/971,765 Filed/Issue Date: October 9, 2001 Attorney Docket No. 1797.0510000

Entitled: A Method and Apparatus for a Common-Cause Failure Module for Probabilistic Risk Assessment Tools

University of Maryland, College Park, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE:]** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Sig: Date: James A. Poulos, III

Name: James A. Poulos, III

Title: Executive Director

Date Signature: Dec 18, 2001

## ASSIGNMENT

DO NOT FORWARD  
TO ASSIGNMENT BRANCH  
NOT FOR RECORDATION

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventors: (1) Franciscus J. GROEN, (2) Carol S. SMIDTS, and (3) Ali MOSLEH, the undersigned inventors hereby sells and assigns to University of Maryland, College Park (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),  
☒ and throughout the world,

(a) in the invention known as A Method and Apparatus for a Common-Cause Failure Module for Probabilistic Risk Assessment Tools for which application(s) for patent in the United States of America has (have) been executed by the undersigned on (1) December 14, 2001  
(2) Dec 14, 2001, and (3) Dec 14, 2001 (also known as United States Application No. 09/971,765, filed October 9, 2001, in any and all applications thereon, in any and all Letters Patent(s) therefor, and

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B.

DO NOT FORWARD  
TO ASSIGNMENT BRANCH  
NOT FOR RECORDATION


DO NOT FORWARD  
TO ASSIGNMENT BRANCH  
NOT FOR RECORDATION


DO NOT FORWARD  
TO ASSIGNMENT BRANCH  
NOT FOR RECORDATION


Appl. No. 09/971,765  
Docket No. 1797.0510000

Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588; all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventors on the date opposite his/her name.

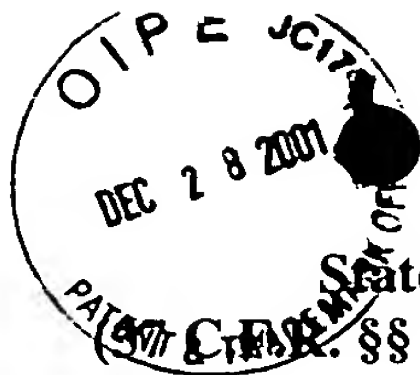
Date: 12/14/01 Signature of Inventor:   
(1) Franciscus J. GROEN

Date: 12/14/01 Signature of Inventor:   
(2) Carol S. SMIDTS

Date: 12/14/01 Signature of Inventor:   
(3) Ali MOSLEH

P:\USERS\DTALLEY\MVM file\1797\051.0\assignment

DO NOT FORWARD  
TO ASSIGNMENT BRANCH  
NOT FOR RECORDATION



# Statement Claiming Small Entity Status

(37 C.F.R. §§ 1.9(e) and 1.27(d)) -- Nonprofit Organization

Applicants or Patentee: Franciscus J. GROEN et al.

Appl. or Patent No.: 09/971,765 Filed or Issued: October 9, 2001 Attorney Docket No. 1797.0510000

For/Title: A Method and Apparatus for a Common-Cause Failure Module for Probabilistic Risk Assessment Tools

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION University of Maryland, College Park

ADDRESS OF NONPROFIT ORGANIZATION Office of Technology Commercialization

6200 Baltimore Avenue, Suite 300

College Park, Maryland 20742-9520

## TYPE OF NONPROFIT ORGANIZATION

- ☒ University or other institution of higher education  
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))  
☐ Nonprofit scientific or educational under statute of state of The United States of America  
(Name of state \_\_\_\_\_)  
(Citation of statute \_\_\_\_\_)  
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in The United States of America  
☐ Would qualify as nonprofit scientific or educational under statute of state of The United States of America if located in The United States of America  
(Name of state \_\_\_\_\_)  
(Citation of statute \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention must file a separate statement indicating their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization having any rights in the invention (other than the nonprofit organization named above) is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below:

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

( ) INDIVIDUAL ( ) SMALL BUSINESS CONCERN ( ) NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

NAME OF PERSON SIGNING James A. Poulos, III

TITLE IN ORGANIZATION Executive Director

ADDRESS OF PERSON SIGNING University of Maryland, 6200 Baltimore Ave., Ste 300, Riverdale MD

SIGNATURE [Signature] DATE Dec 18, 2001 20737

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

1100 New York Avenue, N.W. • Suite 600 • Washington, DC 20005-3934 • (202) 371-2600